

Summary of FY03 Deliverables

Deliverable	Lead	Date
Strategic Management of Human Capital:		
1. Institute an effective ongoing internal communication program. Establish and implement a plan based on the results of the communications audit.	Kristi Clemens & Herman Shipman	12/02
<i>FY03 Tangible Deliverables / Accomplishments:</i>		
<p>?? Established an internal communications team to improve communications to and from the regions and headquarters. The team provides FTA employees with timely, clear and consistent information to ensure an understanding of key messages and issues.</p> <p>?? Substantially improved the internal dissemination, efficiency and content of the briefing paper process.</p> <p>?? Provided web access to all key speeches, testimony, and other agency informational materials.</p>		
2. Complete FTA workforce analysis. Develop and implement a plan for strategic management of human capital. Alignment of training resources with skills gap analysis.	Brenda Wilson & Joel Ettinger	6/03
<i>FY03 Tangible Deliverables / Accomplishments:</i>		
<p>?? Preliminary workforce realignment draft plan in hand.</p>		
3. Complete a successful pilot of the new Executive Performance Appraisal System for FY03 to ensure shared ownership and accountability for results. Develop and implement a plan to place greater emphasis on performance and accountability for results at all levels of the organization.	Rita Wells & Leslie Rogers	9/03
<i>FY03 Tangible Deliverables / Accomplishments:</i>		
<p>?? FTA Executive Performance Appraisal Pilot approved and implemented November 2002.</p> <p>?? Developed four shared core accountabilities (increasing transit ridership, managing project costs, security readiness and grants management), three shared "line of business" accountabilities (leadership, human resource management and diversity, and the President's Management Agenda), for which FTA executives will be held mutually responsible. These shared performance goals are in addition to individual line-of-business accountabilities that are established for each executive.</p> <p>?? Mid-year progress reviews were 90% complete in June 2003.</p> <p>?? An independent review and summary of FTA's core accountabilities and performance was conducted in July 2003. A report is being prepared for submission to the Office of the Secretary.</p>		

New York Recovery:		
4. Design and deliver a funding mechanism and an oversight program for the \$4.55 billion lower Manhattan Recovery Project. Products should facilitate rapid construction and ensure delivery of construction on time and within budget.	Susan Schruth	3/03
<i>FY03 Tangible Deliverables / Accomplishments:</i>		
<p>?? Established Lower Manhattan Recovery Office; developed a staffing plan and hired or detailed 7 staff, with 3 hires pending; developed a 10-year budget, with approximate annual operating budget of \$1.3 million.</p> <p>?? Restructured grants process to deliver funding as needed. Implemented a one-grant-per-project mechanism. This will likely result in a time savings of a minimum of 42 weeks per project.</p> <p>?? Obligated over \$150 million of \$200 million in emergency aid and obligated the first project grant of \$50 million in support of the Fulton Street Transit Center.</p> <p>?? Anticipate three additional grants, totaling \$2.8 billion to be announced by October 1, 2003. Project Development Agreements will be signed concurrently.</p> <p>?? Established environmental oversight strategy and secured buy-in from Federal partners and local project sponsors. Strategy is designed to meet statutory compliance requirements and promote national stewardship objectives, while allowing projects to proceed as quickly as they are able.</p> <p>?? Established a pro-active, risk-based project management oversight program. An interdisciplinary team of environmental, project management, financial systems and procurement systems representatives created to assess risks of projects and project sponsors.</p>		
Transit Ridership:		
5. Design and deliver an integrated portfolio of products and services to increase the average number of transit passenger-miles traveled per market by 2 percent over the previous year, controlling for changes in the economy.	Lois Fu & Dick Doyle	9/03
<i>FY03 Tangible Deliverables / Accomplishments:</i>		
<u>Challenger Session</u>		
Over 200 public and private officials came together to focus on the need to promote transit ridership.		
Outcome: Ridership identified as important outcome that FTA cares about.		
Target groups were identified for follow-up.		
Important determinants of public transportation success in a community were identified.		
<u>NTI Ridership Course</u>		

Curriculum Under Development

Pilot Course in December 2003

Rollout- March 2004

Outcome: In 2004, Transit Board members, general managers and mid –level managers are provided specific tools and strategies to increase ridership.

Universal Pass Program Conference

Program Under development

Conference Date: May 2004 at UCLA

Possible partnering with APTA

Outcome: A "How to" Guidebook to implement transit pass programs is produced for transit agencies.

In 2004 and beyond, more transit agencies and universities partner to implement university transit pass programs.

Individualized Marketing Program Pilots

Contracts signed by the end of August

Information dissemination to encourage participation as pilot site will be done at special session at the APTA Annual Meeting in Sept 2003.

Outcome: Pilots underway in 2004.

Initial results made available to communities nationwide.

Other communities undertake this marketing initiative and ridership will increase.

Ridership Tool Kit

Mailing by late August/early September.

Outcome: All transit properties have a compendium of best practices that have been effective in promoting ridership increases.

Ridership Initiative in SAFETEA

New Ridership Performance Incentive program included in SAFETEA.

Legislation under review by Congress.

Outcome: Grantees will be rewarded for ridership increases.

Ridership Talking Points

Talking points developed and distributed to senior team by beginning of August.

Outcome: All FTA staff have available a consistent ridership message.

Ridership Page on FTA Website

Under development (as part of overall Website redesign).

Outcome: Readily available ridership information available to all FTA staff and grantees.

Good Idea Awards

Selection of awardees/ venue for announcement under discussion.

Outcome: Incentive provided to all transit agencies to focus on ridership results; awards will be presented to successful agencies/ programs that have developed innovative/ successful programs/ results.

BOTTOM LINE RESULTS:

Based on the information available through March 2003, the change in number of boardings was below the two percent target in January and February, but in March 2003 compared to March 2002, ridership growth is well over the 2 percent target (average 3.56%, adjusted for employment changes.)

Security Readiness:

6. Design and deliver an integrated portfolio of products and services to ensure the 30 largest transit agencies have completed 80% of recommended action items on FTA Security Readiness Checklist.	Susan Knisely & Jerry Franklin	9/03
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FY03 Tangible Deliverables / Accomplishments:

Top 20 list:

?? Through on-site Technical Assistance Teams and other contacts, 28 of the 30 largest transit agencies have completed 80% of the Security Readiness Checklist.

?? Working with one agency, which is below the 80% mark, and believe that agency will be above the threshold by the end of September.

?? The remaining agency is dealing with a possible transit strike and has delayed

the Technical Assistance Team visit. We will conduct a telephone assessment to update their progress since their initial self-assessment and will report their status in September.

- ?? Deployed security and emergency management technical assistance teams to 18 of the largest transit agencies across the country; teams provide security products to fill gaps in transit agencies' security plans, programs and activities. Each of these agencies increased its rating on the Security Readiness Checklist.
- ?? Added new security related information to the enhanced FTA Safety & Security website, such as the HSAS Threat Level Protective Measures for Transit Agencies, and the FTA Top 20 Security Program Action Items for Transit (with hyperlinked references to additional resource documents for each of the Top 20 items).
- ?? Piloted the transit sector of the Information Sharing and Analysis Center to provide transit intelligence sharing and communications for the industry with 50 transit agencies. 400 additional agencies will be added this fall. We also provide direct e-mail and telephone contact and protocols between FTA and the largest transit agencies to provide homeland security warnings.
- ?? Initiated research (on-going beyond FY03) in areas of post 9/11 security relatively new to transit agencies, such as:
 - (1) PROTECT and chem/bio detection sensors;
 - (2) background checks for contractors and vendors;
 - (3) designating and controlling security sensitive engineering plans and drawings;
 - (4) adding security aspects in transit design and construction projects;
 - (5) initiating development of security design criteria; and
 - (6) guiding and advising on 12 TCRP security research projects.

Training:

- ?? Developed and delivered, through the National Transit Institute, a transit security awareness and incident management training portfolio, including pocket guides, videotapes, individual study CDs and classroom teaching. Since its inception, over 19,000 transit employees across the country have received this training and 230,000 pocket guides and 550 videos have been distributed.

Emergency Response

- ?? Through the Connecting Communities Emergency Preparedness and Security Forums, transit agencies in 10 regions across the country, as well as small transit agencies at the CTAA Annual Meeting, strengthened their working relationships with police and emergency responders in their area.
- ?? 56 transit agencies conducted FTA-funded emergency preparedness drills. Many of the drills (1) simulated responding to terrorism/WMD scenarios, and (2) included participation from local, regional, state and federal organizations
- ?? Supported the demonstration of the PROTECT technology for detection of weapons of mass destruction in transit stations.

Public Awareness

<p>?? By the end of September FTA, in partnership with APTA, CTAA, ATU, and TSA, will launch Transit Watch, a nationwide public awareness campaign on security. Media materials that can be tailored for different size transit agencies will be made available to all transit agencies nationwide.</p> <p>?? FTA partnered with the American Red Cross to deliver public preparedness information to transit riders in Washington, D.C., Boston, and other cities.</p>		
Project Planning and Oversight:		
7. Design and deliver an integrated portfolio of products and services to ensure the current total estimated project cost of every Full Funding Grant Agreement will not exceed the project's baseline cost estimate by more than 5 percent, incorporating known modifications as of October 1, 2002.	Hiram Walker & Rick Krochalis	9/03
<i>FY03 Tangible Deliverables / Accomplishments:</i>		
<p>?? Instituted an Executive level reporting to monitor costs for New Starts and Regional staff work directly with grantees on cost containment plans, if required.</p> <p>?? Presented risk assessment and cost validation methods to transit industry professionals at 2003 Construction and New Start Round Tables and TRB conference.</p> <p>?? Revised approval processes for entry into Preliminary Engineering, Final Design and FFGA's by conducting pilot risk management studies of projects in the New Starts pipeline to understand the effectiveness and outcomes of different industry methodologies.</p> <p>?? Conducted and completed pilot risk assessment and cost validation studies for Seattle and Pittsburgh</p> <p>?? Updated FTA's Light Rail Capital Cost Study (Final Due Oct 03)</p> <p>?? LRMO began its effort to provide technical guidance and oversight with the direction to the PMOC and FMOC and grantee to develop an integrated approach to risk assessment, evaluation and mitigation plan development.</p> <p>?? Awarded contracts for a pilot consultant effort to provide Environmental Management Oversight Services for New Start Projects under development in LRMO and TRO-10</p> <p>?? Hosted a Risk Management Forum at FTA to compare and contrast different consultants' risk management study results, develop lessons learned and a prepare policy framework for FTA's Programmatic Guidance to staff and grantees</p> <p>?? Updated a series of TPM Guidelines for Project and Construction Management and Quality Control/Assurance</p> <p>?? Secured funding for four more risk management and cost validation studies in FY04 (LA, Charlotte, Raleigh, and Phoenix)</p>		
Program Oversight:		
8. Design and implement a set of performance measures to assess the effectiveness of FTA's program oversight. Design and deliver an	Lynn Sahaj & Leslie Rogers	9/03

integrated portfolio of oversight programs to provide value added to FTA grantees.		
<i>FY03 Tangible Deliverables / Accomplishments:</i> Improved Coordination/Streamlined Oversight Reviews <ul style="list-style-type: none"> ?? Developed and utilized an integrated FY 2003 Master Review Plan, based on risk assessments, which minimized grantee review burden and addressed critical risk areas. ?? Eliminated redundant review of the same program area requirements by different contractors (FMO, Procurement, D&A, CR). ?? Of 568 grantees, 57 percent had no reviews, 12% had more than one review, and 1.5% had 4+ reviews ?? Performed more Triennial contractor work at desk review stage, shortening site visit duration by 20 to 50 percent, thus lessening burden on grantee. ?? Used PMO expertise to address security, ADA, environmental mitigation in cities where a PMO was already assigned. Improved Oversight Management Tools: <ul style="list-style-type: none"> ?? An OTRAK redesign contract was signed and work is underway. An OTRAK advisory group (HQ and RO) is guiding system design. System programming is underway that will enable tracking of findings and close out dates, and automation of master review plan and management reports ?? Fast Track capacity was expanded include New Starts funding data and detailed information for projects under FFGA, including construction status, providing a single source for project costs, matching shares and sources, and construction milestones. ?? The TPE/TPM effort to standardize new starts cost categories and definitions and link to baseline cost estimates for cross-cutting analysis is underway. Maximize Grantee Compliance with Federal Requirements, Increase Number of Findings Resolved: <ul style="list-style-type: none"> ?? New guidance issued: FFGA circular; procurement circular; financial planning guidance, and procurement best practices manuals. Grants Management Seminar Workbook updated and posted on website with links to all pertinent source documents. ?? Produced quarterly reports for regions displaying status of all open triennial findings. ?? Conducted an on-site contractor assistance pilot for three regions to reduce regional backlog and improve regional closeout processes. ?? Established goal of closing out 80 percent of FY 2001 and 2002 backlog of Triennial findings by the end of FY 2003. Backlog reduced by 90 percent by end of FY 2003. ?? Procurement: TPM –TAD collaboration to develop “Top Ten” procurement findings, online procurement self assessment, and other strategies for improving 		

oversight findings.		
Grants Management:		
9. Revise New Starts evaluation framework to promote the benefits of public transportation and leverage the Federal investment under a fiscally constrained scenario.	Rich Steinmann & Jim Ryan	2/03
<i>FY03 Tangible Deliverables / Accomplishments:</i>		
<p>?? Incorporated new cost-effectiveness measure based on Transportation System User Benefit into New Starts evaluations.</p> <p>?? Established the optional report on economic benefits</p> <p>?? Not recommending FFGAs or funding for projects that have poor cost-effectiveness.</p>		
10. Continue improvements to and monitoring of grants process to ensure that 80 percent of FTA grants are obligated within 60 days after submission of a completed application.	Mary Martha Churchman & Lee Waddleton	9/03
<i>FY03 Tangible Deliverables / Accomplishments:</i>		
<p>As of 7/31:</p> <p>?? 88% of the 1014 grants obligated were awarded in 60 days or less</p> <p>?? Total average Days to Award was 37 days</p> <p>?? 9/10 regions met the goal</p> <p>?? All programs except those subject to Congressional Release met the goal</p> <p>8/1 – 9/19 (TEAM closing): Approximately 500 grants remain to be obligated, including 30 that have already been pending for more than 60 days, so percentage will probably drop in end of year total for FY 2003</p> <p>?? Continued to improve our grant processing time as measured by the percentage of grants awarded 60 days or less after submission of a complete application.</p> <p>?? Added a field to TEAM for the date regions submit Talking Points to HQ, so that in the future we will be better able to track the time grants spend in the Congressional release process.</p> <p>?? Improved the email notifications to and from Dept. of Labor (DOL) to avoid delays in their certification process.</p> <p>?? Provided TEAM training to DOL staff and enhanced TEAM to allow DOL to attach the DOL certification letter for review by the Regional Counsel before receipt of faxed or mailed copy.</p> <p>?? Conducted monthly reconciliation of TEAM data to speed up end of year reconciliation.</p> <p>?? Shortened the time required for end of year reconciliation and reopened TEAM</p>		

<p>earlier than in previous years (although delays in receipt of allotments from OMB delayed prompt obligation of carryover).</p> <p>?? Continued work with OST on the Congressional release process speeded release of many grants earlier in the year. (Cooperation has always been good in the final months.)</p> <p>?? Ensured that executive attention to the goal played a very important part in the improvements in regional grant processing times.</p>		
Research:		
11. Deliver a research program that supports increased transit ridership, security readiness and effective program planning and oversight and that is responsive to industry needs. Achieve specific FY03 deliverables as outlined in product and service plans (see Goal #2).	Barbara Sisson & Bob Patrick	9/03
<i>FY03 Tangible Deliverables / Accomplishments:</i>		
?? Did not complete.		
Budget and Performance Integration:		
12. Consistent with the President's Management Agenda for budget and performance integration, implement an effective, integrated program planning process resulting in full cost accounting and fully allocated FTEs to FTA performance goals.	Bob Tuccillo	9/03
<i>FY03 Tangible Deliverables / Accomplishments:</i>		
?? Submitted to the Office of the Secretary and the Office of Management and Budget a performance-based budget for fiscal year 2004, that allocated FTEs to DOT/FTA performance goals.		
?? Received an effective rating (green light) from the Department on the latest budget and performance integration scorecard for the President's Management Agenda.		
?? Implemented an integrated program planning process for the fiscal year 2003 FTA program plan that tied research and oversight funding to FTA's core accountabilities and the Department's strategic goals.		
?? Received a moderately effective program assessment rating (83 percent out of 100 percent) from the Office of Management and Budget on the New Starts program. This is the second highest rating in the Department on the program assessments conducted in conjunction with formulating the fiscal year 2005 President's Budget.		
?? Submitted to the Office of the Secretary a performance-based budget for fiscal year 2005, that allocated FTEs to FTA performance goals.		
?? Submitted to the Office of the Secretary on time an action plan to implement managerial cost accounting within FTA. Includes specific milestones to guide FTA in meeting accelerated deadline of July 1, 2004, for implementing managerial cost accounting.		

Competitive Sourcing:		
13. Consistent with the President's Management Agenda, finalize FY03 plan for competitive sourcing of three key functions by 10/02. Complete competitive sourcing for targeted areas by 9/03.	Michael Winter & Matt Welbes	9/03
<i>FY03 Tangible Deliverables / Accomplishments:</i>		
?? Competitive sourcing plan finalized for accounting and procurement.		
?? Provided information and conducted outreach to all FTA employees regarding the Competitive Sourcing purpose and process. A series of meetings were held with staff from procurement (TAD-40) and accounting (TBP-24) to present information and answer questions about the process.		
?? Competitive sourcing for targeted areas not completed.		
E-Gov and IT:		
14. Transform the FTA website to support effective outreach and to improve access to FTA products and services.	Mokhtee Ahmad & Kristi Clemens	9/03
<i>FY03 Tangible Deliverables / Accomplishments:</i>		
?? Did not complete.		
15. Implement planned TEAM enhancements. Identify and develop a plan for FY04 enhancements.	Lynn Sahaj & Letitia Thompson	9/03
<i>FY03 Tangible Deliverables / Accomplishments:</i>		
?? Completely automated DOL/FTA enterface enabling electronic grant application submission to DOL, DOL certification and notification to FTA, TEAM and tracking the dates of all actions.		
?? Streamlined the business process within TEAM to permit the complete automation of the grant close-out process.		
?? Implemented daily, real time, on-line reconciliation and exception reports that reflect detailed obligations/deobligations by UZA apportionment record, funding source, and operating budget, for all programs which identify funding anomalies or differences.		
?? Implemented all necessary data elements to establish TEAM compatibility with current Grants.gov efforts.		
?? Implemented critical DELPHI/TEAM interface enhancements to enable timely posting of ECHO payments and refunds and authorize disbursements.		
?? Completed other critical technical enhancements prioritized by TEAM user groups, and establish the FY 04 TEAM enhancement priorities at September 24 TEAM meeting.		

Financial Management:		
16. Consistent with the President's Management Agenda, ensure FTA's accounting system produces accurate and timely information, resulting in a clean audit.	Bob Tuccillo	12/03
<i>FY03 Tangible Deliverables / Accomplishments:</i>		
?? Received a clean audit opinion from the Department's Inspector General on the FTA financial statements for fiscal year 2002.		
?? Received an effective rating (green light) from the Department on the latest financial management scorecard for the President's Management Agenda. This was an improvement from an ineffective rating (yellow light).		
?? Met all major milestones needed to eliminate the fiscal year 2002 internal control material weakness related to FTA's accounting system.		
?? Established a financial statement audit committee comprised of senior OIG, OST, and FTA executives to address key audit findings for the fiscal year 2003 financial statements. FTA is the only mode in DOT to formally establish an audit committee this year.		
?? FTA's accounting system is no longer considered a "high risk" by the Department's CFO and the Inspector General for preventing the Department from receiving a clean audit opinion on the fiscal year 2003 financial statements.		
Stakeholder Forum:		
17. Convene an FTA Challenger Session with key stakeholders to build shared ownership and support for public transportation with key stakeholders.	Drucie Andersen	11/02
<i>FY03 Tangible Deliverables / Accomplishments:</i>		
? In November 2002, over 200 public and private officials from the U.S. and Canada came together to focus on the need to promote transit ridership at the first FTA Challenger Session ever held.		
? Since Challenger there have been many subsequent national forums embracing this message, including at the Transportation Research Board and other APTA conferences in 2003. At the APTA 2003 Annual Meeting, promoting transit ridership will be the subject of a session and ridership has become part of the national debate on public transportation.		
? Challenger broadened the base of transit stakeholders. Participants included elected and other local government officials, transit operators, transit suppliers, union representatives, educators, trainers and researchers.		
Reauthorization:		
18. Have a reauthorization bill ready to go to Congress.	Will Sears	2/03
<i>FY03 Tangible Deliverables / Accomplishments:</i>		
? FTA was the first mode to have its reauthorization proposal drafted.		
? FTA secured OST, OMB and interagency support for the vast majority of its initial		

proposals.		
<ul style="list-style-type: none"> ? FTA successfully responded to every Hill request for technical assistance regarding reauthorization. ? FTA embodied every relevant Administration priority in its reauthorization proposal (fiscal responsibility, Performance Management Agenda, New Freedom Initiative, National Parks Legacy initiative, faith-based executive order). 		
19. Update “key messages” and implement a targeted marketing plan to support successful reauthorization. Incorporate “community building days” to increase ridership and support security readiness. Establish a Reauthorization Response Team to provide “real-time” support throughout the process.	Tina Burke & Kate Webb	9/03
<i>FY03 Tangible Deliverables / Accomplishments:</i>		
<ul style="list-style-type: none"> ? Launched initial reauthorization outreach with internal staff and external outreach utilizing the FY '04 budget roll-out. ? Developed key messages and talking points on the FY '04 budget and SAFETEA, which were regularly updated and distributed to FTA staff. Messages were used by the Administrator and FTA staff throughout the organization in outreach opportunities with stakeholders. ? Developed FTAnet webpage, which was regularly updated with key information. ? Implemented a targeted public information plan for the Administrator to reach key stakeholder groups (APTA, CTAA, AMPO, WTS Annual Meeting, National Transportation Week events, COMTO, State DOT officials, AASHTO, the disability community), as well as many “untraditional” stakeholders (US Conference of Mayors, National Chamber Foundation, Portland Business Alliance). ? The TCA “Wind Team,” with support from various program offices, served as a Reauthorization Response Team to provide on-going “real-time” technical assistance support to Congress in their efforts to draft surface transportation reauthorization legislation. ? Proactively sought opportunities for the Administrator and staff to meet with Members of Congress, committee and personal staff to explain the SAFETEA proposal. ? Did not pursue “Community Building Days” events in FY '03 as we utilized stakeholder outreach, security forums, the Red Cross partnership, and other outreach opportunities to deliver messages on ridership, reauthorization and security. 		